

JUL 27 2006

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FROM: Norman R. Kilvans

DATE:

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Number of pages with cover page:	14
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Comments:

OFFICIAL FILING

Attorney Docket No.: 509232001900

Group Art Unit: 2828

Examiner: P. Nguyen

Serial No.: 10/808,732

Filing Date: March 24, 2004

Inventors: Hoang NGUYEN et al.

Title: TURNABLE EXTERNAL CAVITY LASER WITH ADJUSTABLE CAVITY
LENGTH AND MODE-HOP SUPPRESSION

Papers enclosed:

1. Transmittal Form (1) page
 2. Power of Attorney (1) page
 3. Statement Under 37 CFR 3.73(b) (1) page
- Copy of executed Assignment (10) pages

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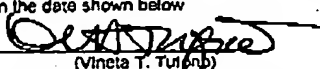
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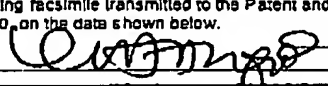
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<h1>TRANSMITTAL FORM</h1> <p>(to be used for all correspondence after initial filing)</p>		Application Number	10/808,732
		Filing Date	March 24, 2004
		First Named Inventor	Hoang NGUYEN
		Art Unit	2828
		Examiner Name	P. Nguyen
Total Number of Pages in This Submission	13	Attorney Docket Number	509232001900

ENCLOSURES (Check all that apply)		
<input type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment/Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Reply to Missing Parts/Incomplete Application <input type="checkbox"/> Reply to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input checked="" type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address (1 page) <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____ <input type="checkbox"/> Landscape Table on CD	<input type="checkbox"/> After Allowance Communication to TC <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to TC (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input type="checkbox"/> Other Enclosure(s) (please identify below): - Statement under 3.73(b) (1) page - Copy of executed Assignment (10) pages Return Receipt Postcard
Remarks		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT			
Firm Name	MORRISON & FOERSTER LLP (Customer No. 25226)		
Signature			
Printed name	Norman R. Klivans		
Date	July 20, 2006	Reg. No.	33,003

I hereby certify that this correspondence is being facsimile transmitted to the Patent and Trademark Office, Mail Stop M Correspondence, facsimile no. (571) 273-8300, on the date shown below.	
Dated: July 27, 2006	Signature:  (Vineta Tufono)

pa-1083283

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PTO/SB/80 (04-05)

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POWER OF ATTORNEY TO PROSECUTE APPLICATIONS BEFORE THE USPTO

I hereby revoke all previous powers of attorney given in the application identified in the attached statement under 37 CFR 3.73(b).

I hereby appoint:

☒ Practitioners associated with the Customer Number:

20872

OR

☐ Practitioner(s) named below (If more than ten patent practitioners are to be named, then a customer number must be used):

Name	Registration Number	Name	Registration Number

as attorney(s) or agent(s) to represent the undersigned before the United States Patent and Trademark Office (USPTO) in connection with any and all patent applications assigned only to the undersigned according to the USPTO assignment records or assignment documents attached to this form in accordance with 37 CFR 3.73(b).

Please change the correspondence address for the application identified in the attached statement under 37 CFR 3.73(b) to:

☐ The address associated with Customer Number.

OR

☐ Firm or individual Name

Address

City

State

Zip

Country

Telephone

Email

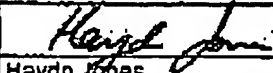
Assignee Name and Address:

Bookham Technology plc
 Towcester
 Northamptonshire
 NN12 8EQ
 United Kingdom

A copy of this form, together with a statement under 37 CFR 3.73(b) (Form PTO/SB/96 or equivalent) is required to be filed in each application in which this form is used. The statement under 37 CFR 3.73(b) may be completed by one of the practitioners appointed in this form if the appointed practitioner is authorized to act on behalf of the assignee, and must identify the application in which this Power of Attorney is to be filed.

SIGNATURE OF Assignee of Record

The individual whose signature and title is supplied below is authorized to act on behalf of the assignee

Signature		Date	July 27, 2006
Name	Haydn Jones	Telephone	+44 1327 358274
Title	Director of Intellectual Property		

PTO/SB/86 (09-04)

Approved for use through 07/31/2006. OMB 0851-0031

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STATEMENT UNDER 37 CFR 3.73(b)Applicant/Patent Owner: Hoang NGUYEN, Dong Ho CHOI, David Ross PACE, Thang TRAN, Weizhi WANG, Alan LIMApplication No./Patent No.: 10/808,732 Filed/Issue Date: March 24, 2004Entitled: TUNABLE EXTERNAL CAVITY LASER WITH ADJUSTABLE CAVITY LENGTH AND MODE-HOP SUPPRESSIONBookham Technology plc, a Public Limited Company
(Name of Assignee) (Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or
2. ☐ an assignee of less than the entire right, title and interest.
The extent (by percentage) of its ownership interest is _____ %
in the patent application/patent identified above by virtue of either:

- A. ☒ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

OR

- B. ☐ A chain of title from the inventor(s) of the patent application/patent identified above, to the current assignee as shown below:

1. From: _____ To: _____
The document was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.
2. From: _____ To: _____
The document was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.
3. From: _____ To: _____
The document was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

☐ Additional documents in the chain of title are listed on a supplemental sheet.

- ☒ Copies of assignments or other documents in the chain of title are attached.
[NOTE: A separate copy (i.e., a true copy of the original assignment document(s)) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 302.08]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

Norman R. Klivans
SignatureJuly 27, 2006
DateNorman R. Klivans
Printed or Typed Name(650) 813-5850
Telephone NumberAttorney
TitleAttorney Docket No.: 509232001800
Client Ref. No. NFI0224-US

pa-1083270

MAR. 24. 2004 12:50PM

COPY

JUL 27 2006

NO. 103

P. 1

Attorney Docket No: NFI-117

ASSIGNMENT

THIS ASSIGNMENT, by

**HOANG NGUYEN, DONG HO CHOI, ROSS D. PACE, THANG TRAN, WEIZHI WANG AND
ALAN LIM**

(hereinafter referred to as the Assignors), residing at Livermore, California; Palo Alto, California; San Jose, California; San Jose, California; San Jose, California; and San Jose, California, respectively, witnesseth:

WHEREAS, said Assignors have invented certain new and useful improvements in

TUNABLE EXTERNAL CAVITY LASER WITH ADJUSTABLE CAVITY LENGTH AND MODE-HOP SUPPRESSION

for which application for Letters Patent has been executed on 7/12/04, and is attached hereto

WHEREAS,

Bookham Technology plc

(hereinafter referred to as the Assignee), a body having corporate powers under the laws of the **UNITED KINGDOM**, is desirous of obtaining the entire right, title and interest in and to said inventions and said application for Letters Patent, and in and to any Letters Patent, United States or foreign, to be obtained therefor and thereon;

WHEREAS, said Assignors and said Assignee have executed an agreement entitled "Agreement Concerning Rights in Invention."

NOW, THEREFORE, in consideration of the sum of One Dollar (\$1.00) and for other good and sufficient considerations, the receipt of which is hereby acknowledged:

1. The Assignors have sold, assigned, transferred and set over, and do hereby sell, assign, transfer and set over unto said Assignee, the entire right, title and interest in, to and under said inventions; said application for Letters Patent; any Letters Patent which may be granted for said inventions in the United States of America and any foreign country; any division, continuation, and continuation-in-part of said application; any reissue or extension of said Letters Patent; and all rights under the International Convention for the Protection of Industrial Property; said right, title and interest to be held and enjoyed by said Assignee for its own use and behoove to the full end of the term for which Letters Patent may be granted, as fully and entirely as the same would have been held and enjoyed by the Assignors, had this sale and assignment not been made.

2. Said Assignors hereby jointly and severally warrant and represent that, at the time of execution and delivery of these presents, said Assignors are the joint and lawful owners of the entire right, title and interest in and to said inventions and said application for Letters Patent, and that the same have not entered into any assignment, contract or understanding in conflict herewith.


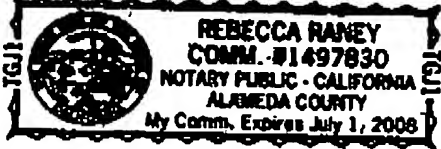

3. Said Assignors hereby jointly and severally covenant and agree to assist and cooperate with said Assignee, whereby said Assignee may enjoy to the fullest extent said right, title and interest herein conveyed, provided, however, that the entire expense which may be incurred by said Assignors in lending such assistance and cooperation be paid by Assignee. Such cooperation shall include: (a) prompt execution of all papers (prepared at the expense of Assignee) which are deemed necessary or desirable by Assignee to perfect said right, title and interest herein conveyed, (b) prompt execution of all petitions, oaths, specifications, declarations and other papers (prepared at the expense of Assignee) which are deemed necessary or desirable by Assignee for filing or prosecuting in the United States or any foreign country said application, any application which is a division, continuation, or continuation-in-part of said application, any reissue application for any Letters Patent granted on said application, or for any interference proceeding involving said application or Letters Patent granted thereon; and (c) prompt assistance and cooperation in the prosecution of all legal proceedings involving said inventions, said application, or Letters Patent granted thereon, including oppositions, cancellation proceedings, priority contests, public use proceedings and court actions.

Assignment, Page 1 of 3

5. The terms, covenants and conditions of this Assignment are subject to the payment of royalty by Assignee to Assignors in accordance with the provisions of said Agreement Concerning Rights in Invention.

6. Said Assignors hereby request the Commissioner of Patents and Trademarks to issue said Letters Patent of the United States to said Assignee as the assignee of said inventions.

IN WITNESS WHEREOF said Assignors have executed and delivered this instrument on the respective dates noted below.

Date: <u>August 13, 2004</u>	<u></u> HOANG NGUYEN
State: <u>CALIFORNIA</u> County: <u>Alameda</u>	
Subscribed and sworn to before me on this <u>13</u> day of <u>August</u> , 20 <u>04</u>	
	<u></u> Notary Public

Date: _____	_____
DONG HO CHOI	
State: _____ County: _____	
Subscribed and sworn to before me on this _____ day of _____, 20____	
_____ Notary Public	

Date: _____	_____
ROSS D. PACE	
State: _____ County: _____	
Subscribed and sworn to before me on this _____ day of _____, 20____	
_____ Notary Public	

MAR. 24. 2004 12:50PM

NO. 103 P. 2


4. The terms, covenants and conditions of this Assignment shall inure to the benefit of said Assignee, its successors, assigns and/or other legal representatives, and shall be binding upon said Assignors, their heirs, legal representatives and assigns.

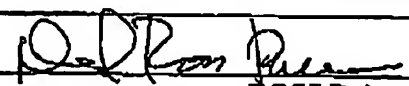
5. The terms, covenants and conditions of this Assignment are subject to the payment of royalty by Assignee to Assignors in accordance with the provisions of said Agreement Concerning Rights in Invention.

6. Said Assignors hereby request the Commissioner of Patents and Trademarks to issue said Letters Patent of the United States to said Assignee as the assignee of said inventions.

IN WITNESS WHEREOF said Assignors have executed and delivered this instrument on the respective dates noted below.

Date: _____	_____
HOANG NGUYEN	
State: _____	County: _____
Subscribed and sworn to before me on this _____ day of _____, 20____	
_____ Notary Public	

Date: <u>3/24/04</u>	
DONG HO CHOI	
State: _____	County: _____
Subscribed and sworn to before me on this _____ day of _____, 20____	
_____ Notary Public	

Date: <u>3/24/04</u>	
ROSS D. PACE DAVID ROSS PACE	
State: _____	County: _____
Subscribed and sworn to before me on this _____ day of _____, 20____	

Assignment, Page 2 of 3

Notary Public

Date: 03/23/04

Thang Tran
THANG TRAN

State: CALIFORNIA County: SANTA CLARA

Subscribed and sworn to before me on this 23rd day of MARCH, 2004



Hung Nguyen
Notary Public

Date: _____

WEIZHI WANG

State: _____ County: _____

Subscribed and sworn to before me on this _____ day of _____, 20____

Notary Public

Date: _____

ALAN LIM

State: _____ County: _____

Subscribed and sworn to before me on this _____ day of _____, 20____

MAR. 24. 2004 12:50PM

NO. 103 P. 3

Notary Public

Date: _____
THANG TRAN
State: _____ County: _____
Subscribed and sworn to before me on this _____ day of _____, 20____

Notary Public

Date: 3/24/04 _____
WEIZHI WANG
State: _____ County: _____
Subscribed and sworn to before me on this _____ day of _____, 20____

Notary Public

Date: 3/24/04 _____
ALAN LIM
State: _____ County: _____
Subscribed and sworn to before me on this _____ day of _____, 20____

Assignment, Page 3 of 3

MAR. 24. 2004 12:51PM

NO. 103 P. 4

Notary Public

MAR. 24. 2004 12:51PM

NO. 103 P. 5

Certificate of Acknowledgment

State of California)
) ss.
County of Santa Clara)

On March 24, 2004, before me, Carol Davis, a Notary Public personally appeared Dong Ho Choi, personally known to me (or proved to me on the basis of satisfactory evidence) to be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.

WITNESS my hand and official seal.



(Notary Seal)

Notary Signature:

A handwritten signature in cursive script, appearing to read "Carol Davis", written over a horizontal line.

MAR. 24. 2004 12:51PM

NO. 103 P. 6

Certificate of Acknowledgment

State of California)
) ss.
County of Santa Clara)

On March 24, 2004, before me, Carol Davis, a Notary Public personally appeared David Ross Pace, personally known to me (or proved to me on the basis of satisfactory evidence) to be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.

WITNESS my hand and official seal.



(Notary Seal)

Notary Signature:

A handwritten signature, appearing to be 'Carol Davis', written over a horizontal line. Below the line, the name 'Carol Davis' is printed.

MAR. 24. 2004 12:51PM

NO. 103

P. 7

Certificate of Acknowledgment

State of California)
) ss.
County of Santa Clara)

On March 24, 2004, before me, Carol Davis, a Notary Public personally appeared Weizhi Wang, personally known to me (or proved to me on the basis of satisfactory evidence) to be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.

WITNESS my hand and official seal.



(Notary Seal)

Notary Signature: _____

A handwritten signature in cursive script, appearing to read "Carol Davis", written over a horizontal line. Below the signature, the name "Carol Davis" is printed in a simple font.

MAR. 24. 2004 12:52PM

NO. 103 P. 8

Certificate of Acknowledgment

State of California)
) ss.
County of Santa Clara)

On March 24, 2004, before me, Carol Davis, a Notary Public personally appeared Alan Tam Lim, personally known to me (or proved to me on the basis of satisfactory evidence) to be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.

WITNESS my hand and official seal.



(Notary Seal)

Notary Signature: _____

A handwritten signature in black ink, appearing to read 'Carol Davis', written over a horizontal line. Below the line, the name 'Carol Davis' is printed in a serif font.